

**CRITERIA HAVING NONCOMPLIANCES
SUPPLEMENT TO THE FY 2004 ACSEP REPORT**

**Prepared by
Aircraft Certification Service**

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INTRODUCTION

The following tables provide the specific criteria data collected during FY 2004 ACSEP evaluations conducted at production approval holders. Tables 1 through 3 present data from all approval types combined. The remainder of the tables present data for the particular approval type specified.

Table 1. – Systemic Noncompliances

Criteria	Description	Number of Systemic Noncompliances	Percent of Total Systemic Noncompliances	Percent with Procedures in Place
413	Receiving inspection	20	8%	10%
427	Part marking	19	7%	10%
409	Inspection methods	18	7%	9%
508	Tool and gauge calibration	17	6%	9%
206	Minor design changes	12	5%	8%
426	Storage of conforming parts	12	5%	7%
401	Work instructions control manufacturing process	11	4%	6%
513	Test procedures controlled	10	4%	7%
602	Initial and periodic evaluation of suppliers	10	4%	6%
405	Manufacturing records	9	3%	5%
530	Nonconforming products controlled	9	3%	5%
202	Technical data file	8	3%	4%
416	Control of shelf life materials	8	3%	5%
428	Shipping of conforming products	7	3%	4%
404	Special process operator qualifications	6	2%	4%
601	Use of approved suppliers	6	2%	3%
402	Special processes identified and defined	4	2%	2%
410	Inspection marking	4	2%	2%
412	Environmental controls	4	2%	3%
108	Quality record retention schedule	3	1%	2%
116	Internal audit	3	1%	2%
204	Design change approval	3	1%	2%
207	Major design changes	3	1%	2%
209	Instructions for Continued Airworthiness	3	1%	2%
411	Issuance of stamps	3	1%	2%

Criteria	Description	Number of Systemic Noncompliances	Percent of Total Systemic Noncompliances	Percent with Procedures in Place
414	Receiving inspection records	3	1%	2%
425	Incorporation of design changes	3	1%	2%
501	Statistical sampling plans	3	1%	3%
529	MRB	3	1%	2%
607	Delegation of inspection to supplier	3	1%	4%
102	Operating within production limitations	2	1%	1%
105	Quality manual in use	2	1%	1%
117	Internal audit results reported to management	2	1%	1%
407	Out of control processes	2	1%	1%
408	Identification of inspection stations	2	1%	2%
422	Prevention of part damage/contamination	2	1%	1%
606	Supplier notification of facility changes	2	1%	2%
611	Flow down of data to suppliers	2	1%	1%
104	Policy document reviewed	1	1%	1%
106	Quality system data and changes submitted to FAA	1	1%	1%
107	Tags, forms, etc. described	1	1%	1%
203	Management review of design changes	1	1%	1%
310	Software Configuration Management Plan	1	1%	2%
406	Special process equipment calibrated	1	1%	1%
415	Verification of shelf life materials	1	1%	1%
420	Traceability to split lots	1	1%	1%
423	Control of cleaners	1	1%	1%
432	Export airworthiness approvals	1	1%	1%
434	Aircraft marking	1	1%	6%

Criteria	Description	Number of Systemic Noncompliances	Percent of Total Systemic Noncompliances	Percent with Procedures in Place
506	Use of qualified personnel for SQC	1	1%	1%
510	Protection of tools and gauges	1	1%	1%
515	Retest after rework	1	1%	1%
516	Test records	1	1%	2%
520	NDI processes controlled	1	1%	2%
521	NDI operators qualified	1	1%	1%
533	MRB major or minor determination	1	1%	1%
603	Approval of supplier's quality manual	1	1%	1%
609	Control of direct ship suppliers	1	1%	3%
612	Control of supplier design	1	1%	1%
613	Control of electronically stored design data sent to suppliers	1	1%	1%

Table 2. – Isolated Noncompliances

Criteria	Description	Number of Isolated Noncompliances	Percent of Total Isolated Noncompliances	Percent with Procedures in Place
508	Tool and gauge calibration	14	12%	7%
409	Inspection methods	8	7%	4%
530	Nonconforming products controlled	7	6%	4%
413	Receiving inspection	6	5%	3%
426	Storage of conforming parts	6	5%	3%
202	Technical data file	5	4%	3%
401	Work instructions control manufacturing process	5	4%	3%
402	Special processes identified and defined	4	3%	2%
405	Manufacturing records	4	3%	2%
427	Part marking	4	3%	2%
513	Test procedures controlled	4	3%	3%
601	Use of approved suppliers	4	3%	2%
204	Design change approval	3	3%	2%
610	Control of sub tier suppliers	3	3%	3%
611	Flow down of data to suppliers	3	3%	2%
116	Internal audit	2	2%	1%
310	Software Configuration Management Plan	2	2%	4%
411	Issuance of stamps	2	2%	1%
412	Environmental controls	2	2%	2%
422	Prevention of part damage/contamination	2	2%	1%
424	Segregation of parts in storage	2	2%	1%

Criteria	Description	Number of Isolated Noncompliances	Percent of Total Isolated Noncompliances	Percent with Procedures in Place
428	Shipping of conforming products	2	2%	1%
509	Calibration standards	2	2%	1%
510	Protection of tools and gauges	2	2%	1%
529	MRB	2	2%	1%
103	Policy document describes organization	1	1%	1%
106	Quality system data and changes submitted to FAA	1	1%	1%
110	Failures, malfunctions, defects reported	1	1%	1%
117	Internal audit results reported to management	1	1%	1%
205	Design changes appropriately documented	1	1%	1%
210	Design data resulting from ADs made available to users	1	1%	1%
313	Software security	1	1%	2%
404	Special process operator qualifications	1	1%	1%
414	Receiving inspection records	1	1%	1%
416	Control of shelf life materials	1	1%	1%
506	Use of qualified personnel for SQC	1	1%	1%
521	NDI operators qualified	1	1%	1%
522	NDI procedures available	1	1%	1%
526	NDI test samples	1	1%	1%
602	Initial and periodic evaluation of suppliers	1	1%	1%

Criteria	Description	Number of Isolated Noncompliances	Percent of Total Isolated Noncompliances	Percent with Procedures in Place
614	Quality review of purchase documents	1	1%	1%

Table 3. – CFR-Based Noncompliances

Criteria	Description	Number of CFR-Based Noncompliances	Percent of Total CFR-Based Noncompliances	Percent with Procedures in Place
402	Special processes identified and defined	5	28%	3%
205	Design changes appropriately documented	2	11%	1%
422	Prevention of part damage/contamination	2	11%	1%
103	Policy document describes organization	1	6%	1%
110	Failures, malfunctions, defects reported	1	6%	1%
202	Technical data file	1	6%	1%
207	Major design changes	1	6%	1%
401	Work instructions control manufacturing process	1	6%	1%
407	Out of control processes	1	6%	1%
408	Identification of inspection stations	1	6%	1%
614	Quality review of purchase documents	1	6%	1%

Table 4. – Systemic Noncompliances at TSO Facilities

Criteria	Description	Number of Systemic Noncompliances	Percent of TSO Systemic Noncompliances	Percent with Procedures in Place
427	Part marking	5	8%	16%
602	Initial and periodic evaluation of suppliers	5	8%	17%
413	Receiving inspection	4	7%	12%
206	Minor design changes	3	5%	11%
209	Instructions for Continued Airworthiness	3	5%	10%
409	Inspection methods	3	5%	9%
410	Inspection marking	3	5%	9%
426	Storage of conforming parts	3	5%	9%
501	Statistical sampling plans	3	5%	12%
508	Tool and gauge calibration	3	5%	9%
202	Technical data file	2	3%	6%
416	Control of shelf life materials	2	3%	6%
513	Test procedures controlled	2	3%	6%
530	Nonconforming products controlled	2	3%	6%
601	Use of approved suppliers	2	3%	6%
611	Flow down of data to suppliers	2	3%	7%
108	Quality record retention schedule	1	2%	3%
116	Internal audit	1	2%	3%
402	Special processes identified and defined	1	2%	4%
406	Special process equipment calibrated	1	2%	4%
408	Identification of inspection stations	1	2%	3%
411	Issuance of stamps	1	2%	3%
412	Environmental controls	1	2%	4%
414	Receiving inspection records	1	2%	3%

Criteria	Description	Number of Systemic Noncompliances	Percent of TSO Systemic Noncompliances	Percent with Procedures in Place
425	Incorporation of design changes	1	2%	3%
428	Shipping of conforming products	1	2%	3%
432	Export airworthiness approvals	1	2%	4%
529	MRB	1	2%	3%
603	Approval of supplier's quality manual	1	2%	6%
613	Control of electronically stored design data sent to suppliers	1	2%	5%

Table 5. – Isolated Noncompliances at TSO Facilities

Criteria	Description	Number of Isolated Noncompliances	Percent of TSO Isolated Noncompliances	Percent with Procedures in Place
508	Tool and gauge calibration	7	25%	20%
405	Manufacturing records	3	11%	9%
202	Technical data file	2	7%	6%
530	Nonconforming products controlled	2	7%	6%
401	Work instructions control manufacturing process	2	7%	6%
116	Internal audit	1	4%	3%
117	Internal audit results reported to management	1	4%	3%
204	Design change approval	1	4%	3%
205	Design changes appropriately documented	1	4%	3%
404	Special process operator qualifications	1	4%	4%
409	Inspection methods	1	4%	3%
413	Receiving inspection	1	4%	3%
416	Control of shelf life materials	1	4%	3%
506	Use of qualified personnel for SQC	1	4%	5%
529	MRB	1	4%	3%
611	Flow down of data to suppliers	1	4%	3%
614	Quality review of purchase documents	1	4%	4%

Table 6. – CFR-Based Noncompliances at TSO Facilities

Criteria	Description	Number of CFR-Based Noncompliances	Percent of TSO CFR-Based Noncompliances	Percent with Procedures in Place
103	Policy document describes organization	1	50%	3%
402	Special processes identified and defined	1	50%	4%

Table 7. – Systemic Noncompliances at PC Facilities

Criteria	Description	Number of Systemic Noncompliances	Percent of PC Systemic Noncompliances	Percent with Procedures in Place
409	Work instructions control manufacturing process	7	13%	23%
413	Manufacturing records	6	11%	21%
202	Special processes identified and defined	3	6%	11%
405	Tool and gauge calibration	3	6%	10%
416	Segregation of parts in storage	3	6%	12%
530	Receiving inspection	3	6%	10%
206	Inspection methods	2	4%	8%
401	Initial and periodic evaluation of suppliers	2	4%	7%
426	Nonconforming products controlled	2	4%	7%
427	Control of shelf life materials	2	4%	7%
105	MRB	1	2%	3%
116	Receiving inspection records	1	2%	4%
203	Inspection marking	1	2%	4%
204	Verification prior to use	1	2%	4%
207	Software security	1	2%	4%
408	Technical data file	1	2%	3%
411	Consotium activities	1	2%	3%
420	Control of supplier design	1	2%	5%
422	Flow down of data to suppliers	1	2%	3%
423	Control of direct ship suppliers	1	2%	4%
434	Delegation of inspection to supplier	1	2%	7%
510	Corrective action based on MRB	1	2%	4%
513	NDI records	1	2%	4%
515	NDI operators qualified	1	2%	4%

Criteria	Description	Number of Systemic Noncompliances	Percent of PC Systemic Noncompliances	Percent with Procedures in Place
516	NDI processes controlled	1	2%	5%
529	Test procedures controlled	1	2%	4%
602	Calibration standards	1	2%	4%
607	Tool and gauge accuracy	1	2%	6%
609	Documents to importing country	1	2%	9%
612	Incorporation of design changes	1	2%	5%

Table 8. – Isolated Noncompliances at PC Facilities

Criteria	Description	Number of Isolated Noncompliances	Percent of PC Isolated Noncompliances	Percent with Procedures in Place
202	Technical data file	2	9%	7%
427	Part marking	2	9%	7%
509	Calibration standards	2	9%	7%
103	Policy document describes organization	1	4%	3%
106	Quality system data and changes submitted to FAA	1	4%	4%
210	Design data resulting from ADs made available to users	1	4%	4%
310	Software Configuration Management Plan	1	4%	8%
401	Work instructions control manufacturing process	1	4%	4%
405	Manufacturing records	1	4%	3%
409	Inspection methods	1	4%	3%
411	Issuance of stamps	1	4%	3%
412	Environmental controls	1	4%	4%
413	Receiving inspection	1	4%	3%
414	Receiving inspection records	1	4%	3%
424	Segregation of parts in storage	1	4%	4%
426	Storage of conforming parts	1	4%	3%
428	Shipping of conforming products	1	4%	3%
508	Tool and gauge calibration	1	4%	3%
513	Test procedures controlled	1	4%	4%
529	MRB	1	4%	4%

Table 9. – CFR-Based Noncompliances at PC Facilities

Criteria	Description	Number of CFR-Based Noncompliances	Percent of PC CFR-Based Noncompliances	Percent with Procedures in Place
205	Design changes appropriately documented	2	50%	8%
408	Identification of inspection stations	1	25%	3%
614	Quality review of purchase documents	1	25%	4%

Table 10. – Systemic Noncompliances at PMA Facilities

Criteria	Description	Number of Systemic Noncompliances	Percent of PMA Systemic Noncompliances	Percent with Procedures in Place
508	Tool and gauge calibration	14	9%	11%
427	Part marking	12	8%	10%
413	Receiving inspection	10	7%	8%
401	Work instructions control manufacturing process	9	6%	8%
409	Inspection methods	8	5%	6%
206	Minor design changes	7	5%	7%
426	Storage of conforming parts	7	5%	6%
513	Test procedures controlled	7	5%	8%
404	Special process operator qualifications	6	4%	7%
405	Manufacturing records	6	4%	5%
428	Shipping of conforming products	6	4%	5%
530	Nonconforming products controlled	4	3%	3%
601	Use of approved suppliers	4	3%	3%
602	Initial and periodic evaluation of suppliers	4	3%	4%
202	Technical data file	3	2%	2%
402	Special processes identified and defined	3	2%	3%
412	Environmental controls	3	2%	4%
416	Control of shelf life materials	3	2%	3%
102	Operating within production limitations	2	1%	2%
108	Quality record retention schedule	2	1%	2%
117	Internal audit results reported to management	2	1%	2%
204	Design change approval	2	1%	2%
207	Major design changes	2	1%	2%

Criteria	Description	Number of Systemic Noncompliances	Percent of PMA Systemic Noncompliances	Percent with Procedures in Place
407	Out of control processes	2	1%	2%
414	Receiving inspection records	2	1%	2%
425	Incorporation of design changes	2	1%	2%
606	Supplier notification of facility changes	2	1%	4%
607	Delegation of inspection to supplier	2	1%	5%
104	Policy document reviewed	1	1%	1%
105	Quality manual in use	1	1%	1%
106	Quality system data and changes submitted to FAA	1	1%	1%
107	Tags, forms, etc. described	1	1%	1%
116	Internal audit	1	1%	1%
310	Software Configuration Management Plan	1	1%	5%
410	Inspection marking	1	1%	1%
411	Issuance of stamps	1	1%	1%
415	Verification of shelf life materials	1	1%	1%
422	Prevention of part damage/contamination	1	1%	1%
506	Use of qualified personnel for SQC	1	1%	3%
520	NDI processes controlled	1	1%	3%
521	NDI operators qualified	1	1%	3%
529	MRB	1	1%	1%
533	MRB major or minor determination	1	1%	1%

Table 11. – Isolated Noncompliances at PMA Facilities

Criteria	Description	Number of Isolated Noncompliances	Percent of PMA Isolated Noncompliances	Percent with Procedures in Place
409	Inspection methods	6	9%	5%
508	Tool and gauge calibration	6	9%	5%
426	Storage of conforming parts	5	8%	4%
530	Nonconforming products controlled	5	8%	4%
402	Special processes identified and defined	4	6%	4%
413	Receiving inspection	4	6%	3%
601	Use of approved suppliers	4	6%	3%
513	Test procedures controlled	3	5%	3%
610	Control of sub tier suppliers	3	5%	5%
204	Design change approval	2	3%	2%
401	Work instructions control manufacturing process	2	3%	2%
422	Prevention of part damage/contamination	2	3%	2%
427	Part marking	2	3%	2%
510	Protection of tools and gauges	2	3%	2%
611	Flow down of data to suppliers	2	3%	2%
110	Failures, malfunctions, defects reported	1	2%	1%
116	Internal audit	1	2%	1%
202	Technical data file	1	2%	1%
310	Software Configuration Management Plan	1	2%	5%
313	Software security	1	2%	5%
411	Issuance of stamps	1	2%	1%
412	Environmental controls	1	2%	1%
424	Segregation of parts in storage	1	2%	1%

Criteria	Description	Number of Isolated Noncompliances	Percent of PMA Isolated Noncompliances	Percent with Procedures in Place
428	Shipping of conforming products	1	2%	1%
521	NDI operators qualified	1	2%	3%
522	NDI procedures available	1	2%	3%
526	NDI test samples	1	2%	3%
602	Initial and periodic evaluation of suppliers	1	2%	1%

Table 12. – CFR-Based Noncompliances at PMA Facilities

Criteria	Description	Number of CFR-Based Noncompliances	Percent of PMA CFR-Based Noncompliances	Percent with Procedures in Place
402	Special processes identified and defined	4	33%	4%
422	Prevention of part damage/contamination	2	17%	2%
401	Work instructions control manufacturing process	1	8%	1%
202	Technical data file	1	8%	1%
110	Failures, malfunctions, defects reported	1	8%	1%
407	Out of control processes	1	8%	1%
207	Major design changes	1	8%	1%
109	Facility relocations reported	1	8%	1%